



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant: David F. Bocian, et al.

Application No.: 10/040,059

Filed: October 26, 2001

Entitled: FORMATION OF SELF-ASSEMBLED MONOLAYERS OF REDOX SAMs ON SILICON FOR MOLECULAR MEMORY APPLICATIONS

The Regents of the University of California, a

University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel \_\_, Frame \_\_, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel \_\_\_\_, Frame \_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

\_\_\_\_\_  
Date

Linda S. Stevenson  
Signature

Linda S. Stevenson  
Typed or printed name

Manager, Patent Prosecution  
Title



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents,  
Attn: Box Missing Parts,  
Washington, D.C. 20231, on April 19, 2002

QUINE INTELLECTUAL PROPERTY LAW GROUP P.C.

By

  
Chianti Appling

Attorney Docket No. 407T-300800US  
Client Ref. 2001-473-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David F. Bocian et al.

Application No.: 10/040,059

Filed: October 26, 2001

For: **FORMATION OF SELF-ASSEMBLED  
MONOLAYERS OF REDOX SAMs ON  
SILICON FOR MOLECULAR MEMORY  
APPLICATIONS**

Examiner: Unassigned

Art Unit: 2618

TRANSMITTAL LETTER - RESPONSE  
TO NOTICE OF MISSING PARTS

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the "Notice to File Missing Parts of Application - Filing Date  
Granted" dated *March 22, 2002*, enclosed are the following to be made of record in the above-  
identified application:

05/16/2002	SSALEEKU	00000007	500893	10040059	Executed Declaration	
01 FC:105		130.00	CH	2)	Power of Attorney and Certificate of Assignee Under 37 C.F.R. § 3.73(b)	
					(+ copy of Assignment - not for recordation-note: The Assignment for	
					recordation is being sent concurrently under separate cover to Box	
					Assignment, pursuant to the MPEP @ Page 300-M and Form PTO-	
					1619A)	
					3)	Copy of Notice of Missing Parts
					4)	Fee transmittal sheet

~~Adjustment date: 05/16/2002 SSALEEKU~~  
~~05/01/2002 BABRAHA1 00000093 500893 10040059~~  
~~01 FC:205 65.00 CR~~

~~05/01/2002 BABRAHA1 00000093 500893 10040059~~

~~01 FC:205 65.00 CH~~

- 5) Transmittal Sheet
- 6) Receipt indication postcard

Please charge Deposit Account No. 50-0893 for the following fees:

Large entity: (a) Filing Fee (§ 1.16(a)) (Large Entity) \$

(b) Excess Claims Fees (§ 1.16(b), (c)):

\_\_\_\_ - 20 = \_\_\_\_ x 18 = \$ \_\_\_\_

\_\_\_\_ - 3 = \_\_\_\_ x 84 = \$ \_\_\_\_

(c) Missing Parts Surcharge \$ 65.00

**TOTAL FEES TO BE CHARGED \$ 65.00**

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 50-0893.

Respectfully submitted,



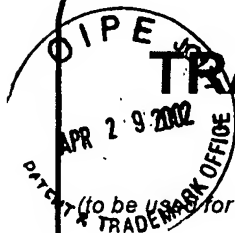
Tom Hunter, J.D., Ph.D.  
Reg. No. 38,498

QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.  
P.O. BOX 458  
Alameda, CA 94501  
(510) 337-7871  
Fax (510) 337-7877

Please type a plus sign (+) inside this box → ☒

(Modified) PTO/SB/21 (6-98)  
Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/040,059	
	Filing Date	October 26, 2001
	First Named Inventor	David F. Bocian
	Group Art Unit	2818
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	407T-300800US

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): receipt acknowledgment postcard Copy of Notice to File Missing Parts
<b>Authorization to Charge Deposit Account</b> Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.		
<div>Remarks</div>		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Tom Hunter, Reg. No. 38,498, Quine Intellectual Property Law Group P.C.
Signature	
Date	April 19, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: April 19, 2002			
Typed or printed name	Chianti Appling		
Signature		Date	04/19/02

**FEE TRANSMITTAL****for FY2002**Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
TRADE**TOTAL AMOUNT OF PAYMENT (\$)****Complete If Known**

Application Number	10/040,059
Filing Date	October 26, 2001
First Named Inventor	David F. Bocian
Examiner Name	Unassigned
Group / Art Unit	2818
Attorney Docket No.	407T-300800US

**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number  
Deposit  
Account  
Name

50-0893

Quine Intellectual Property Law Group, P.C.

- ☒
- Charge Any Additional
- 
- Fee Required Under
- 
- 37 CFR 1.16 and 1.17

- 2.
- ☐
- Payment Enclosed:
- 
- ☐
- Check
- ☐
- Money Order
- ☐
- Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 80	Provisional filing fee	

**SUBTOTAL (1) (\$)****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	-20** =	X	
Multiple Dependent	-3** =	X	

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 84	202 42	Independent claims in excess of 3	
104 280	204 140	Multiple dependent claim, if not paid	
109 78	209 39	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

**SUBTOTAL (2) (\$)****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1440	218 720	Extension for reply within fourth month	
128 1960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1280	241 640	Petition to revive - unintentional	
142 1280	242 640	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)** 65.00**SUBMITTED BY**

Typed or Printed Name Tom Hunter

Signature

Date

04/19/02

**Complete (if applicable)**

Reg. Number 38,498

Deposit Account  
User ID**CERTIFICATE OF MAILING**

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Typed or Printed Name Chianti Appling

Signature

Date

04/19/02